

0000 ADMINISTRATIVE GUIDELINES

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010.1 Purpose, Authority, and Application-General Authority and Application

Draft

Major Objectives:

These guidelines are to be used by Division of Child and Family Services (DCFS) staff as they plan, develop, manage, direct, supervise, or execute other administrative actions that support the provision of child welfare services in Utah. The following guidelines should not be construed as superseding, overriding, in conflict with, or being contrary to any law, rule, state policy or department policy. The intent of these guidelines is to clarify law, rule, and state or department policy and to provide instruction and guidance to staff concerning practices unique to DCFS operations.

Practice Guidelines

- A. Board relationships
 - 1. Board authority
 - a. Utah Code [Utah Code Section 62A-1-105\(b\)](#) [Utah Code Section 62A-1-107](#), and [Utah Code Section 62A-4a-102](#) establishes the Child and Family Services Board and defines the Board's composition and responsibilities.
 - 2. Division responsibility:
 - a. The Division is responsible for providing administrative support to the Board and assists in developing and promulgating rules developed by the board.
 - b. The Division will maintain minutes of board meetings and, within available funding, provide financial support to Board activities.
 - c. When requested, the Division will provide the Board with reports relating to Division operations.
- B. Development and publication of rules
 - 1. The rulemaking process is governed by Utah Code Title 63, Chapter 46a (2006) located at [Utah Administrative Rulemaking Act](#).
 - 2. The Department of Administrative Services provides further clarification of the rulemaking process, which can be accessed at [Rulemaking Process](#).
- C. Development and publication of Practice Guidelines and Practice Skills-*To be developed.*
- D. Development and publication of the Quarterly Release-*To be developed.*

010.2 Purpose, Authority, and Application-Organizational Structure

Draft

Practice Guidelines

This section identifies the Division of Child and Family Services' organizational structure and outlines procedures to be followed when making changes to that structure.

A. Organizational structure

1. State office

- a. The DCFS state office provides program and administrative support to DCFS regions, takes the lead when collaborating with other agencies, and implements, responds to, and reports on adherence to regulations and requirements placed on it by the Office of the Governor, the Utah State Legislature and Federal agencies that oversee state child welfare services. Overall responsibility and direction of the Division is divided among the following:
 - i. Division Director-Responsible for development and propagation of the Division vision, mission and overall organization.
 - ii. Deputy Director for Programs-Responsible for providing direction to all Division program service areas including domestic violence, in-home and out-of home services, adoption services, independent living, child protection, Indian Child Welfare, and other program services.
 - iii. Deputy Director for Regional Support, ICPC and Constituent Services-Responsible for coordination of regional operations, interstate compact activities and constituent services.
 - iv. Director of Finance & Information Systems-Responsible for the Division's budget, accounting, revenue, data reporting and analysis, contracting, and information systems.

2. Regional offices

- a. Service delivery is provided through five geographic regions. Regional Directors are responsible for program operations within their area.
 - i. Regional Headquarters-Each region has designated a specific office to be the regional headquarters where program direction and overall administrative support is coordinated.
 - ii. Program Offices- Workers are assigned to specific offices from which program services are coordinated and dispensed.

- iii. Regional directors, with approval from the Division Director, may establish new offices or close offices based on need and ability to best serve clients.
- B. Making changes to the organizational structure
 - 1. Organizational reporting structure
 - a. Regional directors may, with approval from the Division Director, create new or change the exiting reporting structure within their region.
 - b. Changes affecting an employee's pay or job classification must be processed through the regional Human Resources representative.
 - c. If the change affects a supervisor/employee relationship, the change must be recorded in SAFE (see Section 080).
- C. Changes to office configuration or location
 - 1. Prior approval from the state office is required for changes to office locations.
 - 2. Prior approval from the state office is required when assigning a new staff member to an office or when reassigning exiting staff to a new office.
 - 3. Changes affecting the division's payroll and payment system must be coordinated with state office finance staff.

010.3 Reference to Other Policies and Guidelines Practice Guidelines

Major Objectives:

It is not the intent of these administrative guidelines to duplicate information contained in other handbooks, rules, or guidelines. So that staff can access needed references, which these guidelines augment or clarify, links to those references are provided.

Practice Guidelines

Listed below are links to established State and Department policy and procedures.

- A. Payments- State Financial Accounting Handbook available on the Web at [Payments](#). For details regarding Division specific policies please refer to Section 060.1 of these guidelines.
- B. Purchasing-State Financial Accounting Handbook available on the Web at [Purchasing](#). For details regarding Division specific policies please refer to Section 050.4 of these guidelines.

- C. Travel-Department policy related to travel can be found in [Department Travel](#). For details regarding Division specific policies please refer to Section 030.1 of these guidelines.
- D. Contracts-For Department policies see [Department Contracts](#). For greater detail regarding Division specific policies see Sections 050.1-3 and 050. 5 of these guidelines.
 - 1. The Bureau of Contract Management (BCM) can also provide specific answers to contracting questions.
 - 2. Regional staff may also contract the Division's Contract Administrator for information.
 - 3. If regions contact BCM directly, as a courtesy, let the Division's Contract Administrator know of the problem and response from BCM.
- E. Personnel-Payroll issues are addressed in the State Financial Accounting Handbook at [Payroll](#).
 - 1. Section 2 in the of Department of Human Services Policy Manual [DHS Policy Manual](#) also covers a wide variety of personnel issues including:
 - a. Exercise policy
 - b. Conflict of Interest
 - c. Code of Ethics
 - d. Sick Leave Assistance
 - e. Compensation
 - f. On-call
 - g. Schedules AJ, AL, etc.
 - h. Department Incentives
 - i. Volunteer programs
 - j. Unlawful harassment
 - k. Educational Assistance
 - l. Family members and Pets at Work
 - m. Workplace Violence Prevention
 - n. Domestic Violence
 - o. Overtime and Excess Hours
 - p. Reemployment of state workers
 - q. Position Classification
 - 2. For greater detail regarding Division specific policies see Sections 020.1 through 020.7 of these guidelines.
- F. Staff should contact state office administration for specific questions concerning any issue not addressed in these guidelines.

010.4 Purpose, Authority, and Application-Other Agency Relationships

Draft

Major Objective:

Cooperation between the division, it's community partners, and other state and local agencies, is essential to the DCFS mission. To enhance the provision of services and to support Division operations, the state office and regions will designate liaison staff to interface with specific state, local, and partner agencies.

- A. Community Relations-An administrative position has been established within the state office that is responsible for developing and maintaining relationships with state partners involved in the provision of services to children and families. This position will also work with Quality Improvement Committees statewide to assure that the community has the ability to comment on and recommend changes that the community believes will enhance division policies, practices, and procedures.
- B. Other State Agencies- DCFS may enter into contracts or inter-agency agreements with partners, and state and local agencies, when it is necessary or desirable to clarify division/agency or staff/agency relationships. Current agreements include those with:
 - 1. The Department of Health/Health Nurses-The division and DOH have an agreement that indicates that DOH will provide nurses in each DCFS region. These nurses will work with DCFS caseworkers to assure children's health needs are being addressed.
 - 2. Bureau of Criminal Identification-In order to assure safety of children in Division custody, DCFS has entered into an agreement with the Bureau of Criminal Identification (BCI) to provide background checks for prospective foster and adoptive parents and for DCFS staff working with children.
 - a. Designation of staff to access BCI records (Utah Criminal Justice Information System – UCJIS)- DCFS staff who have a need to access BCI records will be identified and trained prior to receiving access.
 - b. Compliance to laws and regulations regarding use of BCI data-As indicated in the "code of ethics", (which all DCFS staff are required to acknowledge and sign) staff are required to "respect and protect the appropriate confidentiality and privacy of records and information concerning clients. Any DCFS staff that misuse data obtained from BCI will be appropriately disciplined. Depending on

the nature of the misuse, this discipline may include termination.

Upon becoming aware of any allegation or finding of misuse of this information, Division management will confer with the Division of Human Resources to determine appropriate disciplinary action.

3. Division of Services for People with Disabilities (DSPD)-DCFS has entered into an agreement with DSPD relating to children that will “age out” of DCFS custody but still require and qualify for DSPD services. The agreement specifies conditions that clients and their caseworkers must meet before those children can be transferred to DSPD care.

010.5 Purpose, Authority, and Application-Processing Constituent Complaints

To Be Developed

020.1 Personnel/Payroll-Ethical and Professional Behavior

Major Objectives:

The overarching objective of any personal interaction with others, be it providing quality services to clients or ensuring open communications in the workplace, is that staff act at all times with professionalism, kindness, compassion, discipline, and honesty.

Practice Guidelines

The purpose of this section is to outline policies, procedures, principles, and practices that guide and promote the ethical and professional behavior of all Child and Family Services staff.

- A. All Division staff will adhere to the Department of Human Services Code of Ethics located at [Code of Ethics](#).
- B. To ensure professional and ethical communications take place, be they when providing services to clients or working cooperatively with other Division staff, all staff should study and utilize the Division’s Practice Model Principles and Practices located at [Overarching Principles](#).

020.2 Personnel/Payroll –Procedures for Handling Employee Concerns and Complaints

Major Objectives:

The Division will maintain an environment of open communication where staff are encouraged to be creative, offer suggestions, seek solutions for problems or concerns, and support each other in building and maintaining a positive work atmosphere.

Division administration encourages staff to express their questions and complaints in a fair and constructive manner and is committed to working with staff to resolve any matter of concern.

Practice Guidelines

Division administration recognizes that there are times when staff need to express or address meaningful and legitimate concerns. The following guidelines outline staff responsibilities as they strive to identify and address those concerns.

A. Administrative forums

1. At least annually, each office and region in the division is to promote and provide forums that will encourage open discussion of employee concerns.
 - a. Strengths-based forums should be held using the “wants and offers” system (what are people wanting and what is being offered by the requestor and/or by those that are receiving the request).
 - b. To assure that administration and staff maintain trust with each other, with those we serve, and with the community, participants will ensure that all communications during forums be held in confidence.

B. General complaints.

1. Complaints or concerns that do not rise to the nature of harassment, illegal activity or unethical behavior are to be handled by the employee’s supervisor, the supervisor’s superior or administrator closest to the issue.
2. Complaints or concerns may be expressed either verbally or in writing.
3. A supervisor or administrator receiving a complaint should consult with the complainant regarding measures to be taken to resolve the complaint. Complaints may be resolved individually by the complainant, supervisor, or other administrator, be resolved during one-on-one interactions between the supervisor, complainant and other involved parties, or handled in a large forum involving staff, board members, or consultants.
4. The complainant may choose to remain anonymous but should be aware that the complaint may not be resolved to his/her satisfaction if they do choose to remain anonymous.

5. If a Division employee does not feel they have received an adequate chance to express their concerns or have received an answer with which they do not agree, they should contact their supervisor's superior, or a regional administrator, (or in the state office, state administrator) for resolution.
 6. Records regarding general concerns or complaints should be retained by the supervisor or administrator involved in resolution of the issue until they are recorded and resolved. At their discretion, administrators may choose to forward documentation to Division Directors, Deputy Directors, or Human Resources if applicable to the employee's file.
- C. Responding to harassment in the workplace.
1. The Division of Child and Family Services encourages all staff that witness or experience harassment in the workplace to follow procedures outlined in Section 02-10 of the Department of Human Services Policy and Procedures Manual [Unlawful Harassment Policy](#) or the Human Resources Policy R477-15. Division employee Unlawful Harassment Policy and Procedure at [Harassment](#).
 2. Supervisors and Administrators will follow Section 02-10 III of the Department of Human Services Policy and Procedures Manual [Unlawful Harassment](#) when initiating investigations into allegations of harassment made by a Division employee.
 3. All documentation in relation to a report of harassment should be in written form and forwarded to the Office of Human Resources for inclusion in a formal record managed and retained by that office. No documentation regarding allegations of harassment should be included in the employee's personnel file, program or service file, or any other file other than the one retained by the Office of Human Resources.
- D. Reports of other illegal activity.
1. All employees are bound by the Department of Human Services Code of Conduct (Reference 02-03 at [Code of Conduct](#), which outlines the process to report illegal activity as well as consequences of being involved in illegal activity.
 2. Employees witnessing or suspecting illegal activity involving another employee, former employee, or contractor, including a violation of any law, rule, or regulation; gross mismanagement, a gross waste of funds, an abuse of authority, or a substantial and specific danger to public health or safety must report the allegation immediately.
 3. In most cases, reports of illegal activity are to be made to the employee's supervisor, Regional administrators, or to Division administration
 4. If the person reporting the illegal activity suspects that their immediate supervisor or other administrator is involved in the illegal activity, the

person making the report should make their report to the next uninvolved level of administration.

5. If the person making the report of illegal activity feels the person to whom they made the report has not been responsive or is delaying or neglecting the report, then the person making the report should contact the Department of Human Service's Bureau of Internal Review and Audit (BIRA) and/or the Department of Human Services Executive Director's Office.
6. At the discretion of Division administration, administrators may consult with the Office of Human Resources staff in determining how to respond to violations, may ask the Department of Human Service's Bureau of Internal Review and Audit (BIRA) to investigate (especially in cases where improprieties are suspected in regard to activities associated with an agency contract), may refer the case to legal counsel, or may choose to report the offense to law enforcement authorities.
7. If a Code violation appears to involve potential liability for the Department, supervisors shall also consult with the Office of Administrative Support for advice or assistance.
8. If the employee's supervisor makes the decision not to take disciplinary action, the supervisor shall document the violation, the gravity of the violation, the extent of the resulting gain or loss, and the reason why disciplinary action was not warranted in that particular situation.
9. Written documentation of all allegations of illegal activity are to be provided to the Division Director and BIRA. A formal record of the investigation and all documentation will be kept in files held by BIRA and/or Human Resources.

E. Concerns about case actions

1. Because local supervisors and regional staff have a better understanding of their approach to providing services and of local resources available to meet client needs, concerns regarding a particular case or case action are to be initially addressed at the local or regional office level.
2. When the employee feels it is inappropriate to voice their concern to their supervisor or regional administrators, or have done so and feel their concern has not been resolved, the employee should contact the Constituent Services Representative at the Division's state administrative office and express their concern.
3. Constituent Services staff will interact with local administration to resolve the concern and will report the result of their actions back to the individual making the referral.
4. If Constituent Services determines that it is a conflict of interest to intervene, they may refer the matter to the Office of the Child Protection

Ombudsman (OCPO). That office will contact the referent and manage the situation from that point.

5. If an individual expressing a concern about a case action believes the matter cannot be resolved appropriately within the Division, that individual may contact OCPO directly and request the action be reviewed.
6. If OCPO accepts the referral, they will investigate and provide a written report to the Division. That report may include recommendations that outline possible solutions.

F. Quality Improvement Committees.

1. Any or all of the Division's Quality Improvement Committees (QIC) may address matters concerning systemic issues that come before them as a result of an employee complaint or concern.

020.4 Personnel/Payroll -Incentives (Updated July 2008)

Major Objectives:

Department of Human Services Policy and Procedures [Incentive Awards](#) encourages all staff to "recognize and award employees for exceptional work performance that results in measurable efficiency, cost savings, and innovations that contribute directly to the Department meeting its mission and vision."

Practice Guidelines

- A. Awards that may be presented to eligible employees include:
1. Certificates of commendation or letters of appreciation.
 2. Administrative leave.
 - a. Agency heads and their approved designees have the authority to issue a Certificate of Administrative Leave approving leave from 1 to 8 hours per occurrence.
 - b. Only the Executive Director has the authority to issue a Certificate of Administrative Leave approving leave exceeding 8 hours per occurrence.
 3. Cash awards.
 - a. Agency heads may approve awards ranging from \$50 to \$500.
 - b. The Executive Director must approve awards ranging from \$501 to \$2000.
 4. Non-cash awards or gifts (not to exceed \$50 each) including caps, shirts, jackets, mugs, key rings and similar miscellaneous items.
 5. A combination of the types of awards.

- B. Eligible employees
1. Any employee of the Department may be eligible for an incentive award. Exceptions include:
 - a. Employees with an overall unsatisfactory performance review within the last ninety (90) days.
 - b. Employees currently on a corrective action plan.
 - c. Employees on administrative leave pending the results of an investigation, or who received disciplinary action within the last year.
 - d. Schedule AJ and other employees not receiving employee benefits are not eligible to receive administrative leave.
- C. Eligibility requirements
1. Employees may receive an award when they have accomplished one of the following:
 - a. Improved Department or Division operations including applying creative ideas, showing extraordinary initiative or outstanding leadership, and/or investing time beyond standard expectations that improves agency function.
 - b. Accomplished acts that have statewide benefits or increased or improved public service, safety, health, or reduced duplication of statewide efforts (such as improved interagency data systems, communication and coordination).
 - c. Identified and implemented measures that resulted in cost savings, timesavings, or that increased revenue within the Department or Division.
 - d. Made an outstanding work effort by positively exceeding normal job responsibilities and expectations for a unique event or over a sustained period of time.
 2. Division and offices may not award incentive awards based solely on an employee's annual performance appraisal rating even if it is exceptional.
 3. The awarding of all incentives is subject to availability of budget as determined by the Division or Regional Director.
- D. Nominating an employee for an incentive award
1. A nomination for an award may be initiated by:
 - a. Any Division or Department employee.
 - b. An individual outside of the Division or Department who has direct knowledge of the achievement of the employee being nominated.
 2. Nominations shall be made no later than (6) months after the date of the occurrence of the action for which the employee is being nominated.

- E. Approval
 - 1. A nominator should submit a nomination for an award to the employee's supervisor.
 - 2. The supervisor will assure that the employee is an eligible employee, meets eligibility requirements, and will note their approval or disapproval of the nomination.
 - 3. The supervisor will submit the form to the Regional Director, or for state office staff to the Division Director, for their approval or disapproval.
 - 4. For cash awards, the Regional, Division, or Executive Director has the responsibility to forward the nomination form to Human Resources who will forward the award to payroll.
- F. Forms used to nominate employee actions and award incentives.
 - 1. Administrative leave shall be awarded using the DHS Certificate of Administrative Leave.
 - 2. Nominations for cash awards must be submitted using HRM-6.
 - 3. Forms can be found online at [Incentive Awards](#) or in this document at [IncentiveAwardNominationForm](#)

020.4 Personnel/Payroll –Overtime *Draft*

Practice Guidelines

- A. Department of Human Services Policy and Procedures [Overtime](#) establishes procedures that comply with federal law and ensures “that the Department uses overtime and excess hours efficiently, economically and within existing budgets.” Specific policies to be highlighted include:
 - 1. With few exceptions, before any Department employees work overtime or excess hours, they must first obtain approval from their immediate supervisors.
 - 2. Agency management may not authorize or permit any Department employee to work any time for the Department without compensation.

020.5 Personnel/Payroll –Approvals *To Be Developed*

020.6 Personnel/Payroll –Safety and Security *Draft*

Major Objective:

The Division of Child and Family Services will ensure that its employees are reasonably free from risk of physical threat or harm while in performance of their work duties. The Division will also assure that employees are aware of procedures to report potential threats of harm and are informed on procedures and methods to avoid workplace related violence.

Practice Guidelines

A. Workplace Violence

1. Department of Human Service Policy and Procedures [Workplace Violence](#) outline policy and reporting procedures concerning violence in the workplace.
 - a. Policy
 - i. The Department does not tolerate any type of workplace violence committed by or against employees, clients, the general public and/or property.
 - ii. Employees are prohibited from making threats or engaging in violent activities in the workplace.
 - b. Reporting
 - i. Any potentially dangerous situation shall be reported immediately by employees to agency management and/or the Office of Administrative Support/Risk Management (OAS/RM).
 - ii. Agency management shall report incidences to OAS/RM.

B. Domestic Violence

1. Department of Human Service Policy and Procedures [Domestic Violence](#) emphasize that there is zero tolerance for domestic violence in the workplace. That policy states, "Any employee who threatens, stalks, harasses or abuses a cohabitant at the workplace or from the workplace using any State resources such as State time, workplace phones, FAX machines, mail, e-mail, or other means will be subjected to disciplinary action pursuant to DHRM Rule R477-10-2 and R477-11."

020.7 Personnel/Payroll -Disaster Plan Roles and Responsibilities

Major Objective:

Division employees understand their responsibility to help assure staff and client safety as well as mitigate damage and/or injury to DCFS clients and staff during and following a natural or manmade disaster or emergency.

Practice Guidelines

The DCFS Emergency Response Plan (copies of which may be obtained by contacting the DCFS state office Director of Finance and Information Systems) outlines procedures

that will, in a timely and efficient manner, expedite recovery to normal Division operations following a natural or manmade disaster or emergency. This plan is consistent with the Department of Human Services Emergency Management/Business Continuity Plan located at [DHS Emergency Plan](#).

A. Critical mission services

1. Following are critical services that must be provided regardless of the nature or scope of an emergency:
 - a. Care of children in custody
 - b. Child protective services intake and investigation
 - c. Provision of services to families in in-home crisis situations.
2. All other programs and services will be provided as the recovery process progresses and capacity to provide those services increases.

B. Coordination of plans

1. Region and state disaster and emergency planning is a joint responsibility of the Region or State Director (or their designee) and a Region or State "Plan Coordinator".
 - a. Each region will designate an individual as the Plan Coordinator, the focal point for development and coordination of regional disaster and emergency plans.
 - b. SAFE will designate an individual as the Plan Coordinator, the focal point for database and data recovery.
 - c. The state office has designated the Finance and Information Systems Director as the Plan Coordinator for DCFS at the state level.

C. Conditions that Activate Plan:

1. Any interruption resulting in disruption of some or all of DCFS' mission-critical business processes will activate this plan.
 - a. The level of activation depends upon the nature and magnitude of the disruption.
 - i. A minor emergency within one region, an emergency affecting one or more non-critical business units, or an emergency that affects a limited number of clients and/or staff, will invoke only the "Initial Short-term Response" portion of the plan.
 - ii. Any larger event threatening the health or safety of all clients or staff in one or more regions, or that affects all business units in a region or at the state office, will activate a broader response that may include activation of the State Crisis Response Team.

- b. In consultation with the Division Director, the state office Plan Coordinator will determine the level of activation.
- D. State office responsibilities
 - 1. Communicate between the state office and regions and initiate support where needed.
 - a. Following an event, the Plan Coordinator will make daily telephone contact with each region.
 - i. Regional contact will be by telephone (land line or cellular) at 10:00 a.m. each day during the first five days of the emergency.
 - ii. Calls will be placed to the Regional Director or their designee as identified in the Region Disaster and Emergency Plan.
 - iii. The Plan Coordinator will complete a contact status report each day and deliver that report to the Division Director and/or the Crisis Response Team.
 - 2. Provide data and payment support for regional operations.
 - a. Data support for CPS intake and case management will be managed according to the SAFE contingency plan.
 - b. In the event normal payment procedures are affected, regional staff will follow emergency payment provisions as mandated by the Office of Fiscal Operations that has distributed emergency procedures to all regions.
 - 3. Report and respond to inquiries from the DHS Executive Director and other State agencies.
 - 4. Activate the state office Crisis Response Team who unless the state office itself is directly affected, will primarily be involved in providing communication and data support during the first five days of an emergency. That team is comprised of:
 - a. The Division Director or Deputy Director
 - i. The Division Director or Deputy Director will provide the Plan Coordinator with regional contacts and reporting times.
 - ii. If communication via telephone is not possible, the DCFS Director will attempt alternate methods of communication to determine Region's need for assistance.
 - b. A Crisis/Continuity Coordinator
 - i. In an emergency where the Crisis Response Team is activated the state office Plan Coordinator will become the Crisis/Continuity Coordinator.
 - ii. The Crisis/Continuity Coordinator will provide reports on the status of emergency operations to the Division Director and other members of the Crisis Response Team.

- iii. If contact with a Region office is not possible, the Crisis/Continuity Coordinator will be responsible for assuring that the Department plan has been placed into action.
 - iv. If contact with a Region office is not possible the Crisis/Continuity Coordinator is responsible for ensuring that region employees receive notification that they are not to attempt to reach their normal workplace.
 - v. The Crisis/Continuity Coordinator will attempt to contact all regional offices to provide them with alternate contact locations for regional or state office operations.
 - c. A State Office Operations Coordinator
 - i. The State Office Operations Coordinator will direct support to be provided by administrators, Program Managers and other state office staff.
 - d. A Fiscal Operations Coordinator
 - i. The Fiscal Operations Coordinator will provide financial, accounting, and audit support and track disaster related expenditures made by regions or the state office.
 - e. A Constituent Services Coordinator
 - i. The Constituent Services Coordinator will be responsible for initiating and monitoring a system to respond to client's disaster related concerns.
 - f. A SAFE Operations Coordinator
 - i. To maintain SAFE operations Regions may switch to alternate power sources and/or servers if primary systems fail
 - ii. If alternate power sources or servers are not available, regions are to maintain records manually until service is restored.
 - iii. Additional support alternatives are addressed in the SAFE Plan should the emergency continue beyond five working days.
 - g. A SAFE Helpdesk Coordinator
 - i. The SAFE Helpdesk Coordinator will assist affected staff in identifying alternatives to process SAFE related data.
 - ii. The SAFE Helpdesk Coordinator will also help prioritize and coordinate employee's access to safe.

E. Alternate Division Headquarters

- 1. Should DHS offices be affected and become unusable the Division will relocate to the State Capital.

2. The Division Director, Plan Coordinator or Crisis/Continuity Coordinator will notify Region Directors, the Department of Human Services Executive Director's office, and other pertinent state agencies of the alternate headquarters.
- F. Regional office responsibilities
1. Regional Directors are responsible for developing crisis management plans addressing DCFS operations within their region.
 2. Regional plans will identify region disaster and emergency contacts, their alternates, and identify secondary means by which the state office may communicate with those contacts.
 3. Regions will be responsible to review emergency plans for contracted providers on an annual basis.
- G. Alternative Work Sites
1. Employees that have the ability to telecommute, or have been authorized to work at other places of work, will be expected to work at their alternate site.
 2. Employees working at alternative sites will contact their supervisor as soon as possible.
 3. State office employees are to notify the Plan Coordinator or State Office Operations Coordinator as soon as possible of their alternate work location.

020.8 Personnel/Payroll-Medicaid Fraud, Waste, and Abuse

Major Objective:

Child and Family Services employees understand their responsibility to help assure that funds available to deliver services to children and their families are spent in a responsible manner.

Applicable Law

Federal False Claims Act 31 USC Sec. 3729

Utah Code Ann. §26-20-2 through 13

Utah Code Ann. §67-21-2

Utah Criminal Code §76-8-402

Practice Guidelines

- A. Reporting Medicaid related fraud, waste, or abuse:
1. Any staff member should report their suspicion that a provider, contractor, or other individual is attempting to obtain financial or other remuneration for a false or fraudulent Medicaid claim for service to any of the following:

- a. To the employee's supervisor.
 - b. Medicaid Fraud Hotline at 801-538-6155 or 1-800-662-9651.
 - c. Division of Child and Family Services State Office at 801-538-4100.
 - d. Utah Attorney General at 801-538-9600.
- B. Purpose of the Federal False Claims Act (FCA):
 - 1. To recover taxpayer money fraudulently paid to individuals that deceive the government.
 - 2. To allow state agencies as well as private citizens to sue organizations or individuals for civil damages when an organization or individual submits a claim that fraudulently seeks to obtain state or federal funds.
- C. Falsifying claims includes, but is not limited to:
 - 1. Falsifying medical records submitted.
 - 2. Billing for services not rendered or goods not provided.
 - 3. Duplicating billing to obtain double compensation.
 - 4. Billing, certifying, or prescribing services that are medically unnecessary.
- D. The provider or contractor need not have actually known that the information it provided to the government was false in order to be liable. It is sufficient that the defendant supplied the information to the government either:
 - 1. In deliberate ignorance of the truth or falsity of the information.
 - 2. In reckless disregard of the truth or falsity of the information.
- E. Protection for staff reporting suspected fraud, waste, or abuse:
 - 1. Whistleblower protections provided through the FCA indicate:
 - a. A person that knows about the filing of a false Medicaid claim (the whistleblower) may bring a civil action on behalf of the government for a violation of the FCA.
 - iii. After the whistleblower files a suit, the government can pursue the claim on its own, or decline to intervene and allow the whistleblower to continue.
 - b. Any person harassed or discriminated against in any way because of his or her involvement in a FCA action has the right to be made whole.
 - i. The whistleblower's damages include reinstatement of their job, two times back pay plus interest, and compensation for any special damages including reasonable litigation and attorneys' fees.
 - c. Individuals that identify and communicate that Medicaid related fraud, waste, or abuse has occurred are entitled to a portion of damages (up to 30%) recovered in a suit to which he or she participated.

030.1 Travel Policies

Practice Guidelines

- A. A brief description of policies and procedures related to travel can be accessed at [Travel Brief](#).
- B. More detailed policies are outlined in State of Utah Accounting Policies and Procedures section FIACCT 10-02.00 located at [State Travel Policies](#).
- C. Policies and procedures relating to use of State owned motor vehicles are published in Rule R27-3 located at [Vehicle Use Standards](#). See section 050.7 for a summary of those policies.
- D. Policies and procedures relating to use and reimbursement for use of a private vehicle are located on page 23 under Travel-Reimbursements-Transportation located at [Use of Private Vehicle](#).

040.1 Training

To Be Developed

050.1 Purchasing/Contracting-RFP Process *Draft*

Major Objectives:

The development and issuance of successful Request For Proposals (RFPs) usually requires the collaboration of individuals with specific expertise in, and knowledge of, DHS and State of Utah procurement policy, DHS policy for the issuance and processing of RFPs, Department of Human Service approved service codes and rates, Division State and Regional goals and objectives, and DCFS Practice Guidelines. Therefore, the Division will assure that RFPs are developed in a collaborative environment where all management staff with an interest in the RFP and/or resulting contract(s) have a chance to contribute to the development and review of the RFP.

Practice Guidelines

This section outlines the process for developing and publishing DCFS related RFPs.

- A. Definitions
 - 1. Request for Proposals (RFPs) are used to solicit proposals from potential contractors that desire to provide goods or services to the Division or the clients we serve. Proposals describe the offeror's ability to provide services that satisfy the scope of work listed in the RFP, and identify funding needed in order to deliver those services to the Division and/or the clients we serve.

2. "State office Contract Administrator" shall be used to refer the contractual state office staff comprised of an Administrator and co-worker.
 3. "Offeror" refers to potential contractors submitting proposals in response to an RFP.
- B. Authority to draft a Request for Proposals
1. Based on grant guidelines and program goals and objectives, it is the responsibility of region or state office Program Manager, Grant Manager, or administrator to identify the need for an RFP, and outline scope of work, accountabilities, and funding parameters by which the offeror must abide.
 2. The state office Contract Administrator may assist in preparing the RFP and has primary responsibility for developing and managing all Residential, Children Trust Fund, Crisis Nursery, and any other RFPs or contracts funded by Federal grant monies.
 3. Regions have the authority to draft all other RFPs.
 4. In certain instances, regions may request that the state office, draft any RFP for which the region has primary authority.
 5. Regional supervisors, managers, or administrators developing an RFP are encouraged to notify a state office Program Manager or administrator of their intent to issue an RFP. Region supervisors, managers, or administrators may seek out and request the help of the state office Program Manager should assistance be needed, and should notify the Program Manager should any changes be made to an RFP.
- C. Scope of work
1. The Scope of Work details activities to be accomplished, or services to be provided by the offeror, activities or services designed to help DCFS meet its programmatic goals.
 2. Responsibility for developing scope of work guidelines and parameters lays with the region or state office Program Manager, Grant Manager or administrator overseeing the program.
- D. While a state office Program Manager, Grant Manager or administrator is not responsible for initiating an RFP or developing the scope of work for a region, they may, at their discretion, suggest changes or revisions to an RFP's scope of work.
- E. Review of Draft RFP
1. All RFPs developed by region or state office Program Managers, Grant Managers, or administrators shall be submitted to the state office Contract Administrator for review and opinion.

2. The state office Contract Administrator will review RFPs to determine if they meet current Department of Human Services Bureau of Contract Management (BCM) practices and guidelines, achieves goals desired, and meets standards for completeness and professionalism.
3. If changes are recommended, the state office Contract Administrator will negotiate those changes with the state office or regional staff responsible for developing the RFP.
4. Only the DCFS Contract Administrator is authorized to submit a draft RFP to BCM for BCM's review and/or eventual publication.
5. The state office Contract Administrator will consult with the submitting region, or state office staff, to respond to all BCM questions and concerns. The state office Contract Administrator will also consult with regions or state office staff when making final adjustments and improvements to the RFP.

050.2 Purchasing/Contracting-Review of Proposals Submitted in Response to an RFP

Draft

Practice Guidelines

- A. The state office or regional Program Manager, Grant Manager or administrator submitting the RFP will assure that all proposals received in response to that RFP are appropriately scored.
- B. Scoring of any proposal shall be in accordance with BCM guidelines and consistent with criteria listed in the RFP.
- C. A conflict of interest declaration must be made in any circumstance where any potential third party may perceive a bias or conflict in the judgment or interests of a reviewer selected to score a proposal.
 1. All individuals that score a proposal must declare in writing any potential conflict of interest they might have with the offeror.
 2. Even though a conflict of interest declaration does not evaluate whether a particular reviewer can evaluate a proposal without bias, a potential reviewer who makes a conflict of interest declaration may not score that proposal without prior written approval from BCM.
- D. Once the review process is complete, the submitting region or individual shall prepare a scoring package to be delivered to BCM. This package shall contain, at a minimum:
 1. A conflict of interest declaration from all reviewers
 2. All score sheets completed by each reviewer
 3. A summary of scores, and

4. A justification letter requesting permission from BCM to approve the award of the contract(s) as supported by the scores.
 - a. The justification letter shall include:
 - ii. The date.
 - iii. The RFP number.
 - iv. The name or names of the successful offerors.
 - v. The specific services or service codes to be awarded.
 - vi. The requested dollar amount for each contract for fixed contracts (this is not required for open ended contracts)
 - vii. The signature of the requesting individual.
 - viii. A signature line where BCM will sign to indicate their approval and line identifying the date they sign.

050.3 Purchasing/Contracting-Processing of Contracts and Amendments

Draft

Major Objectives:

All contracts and amendments that achieve official, legal status will meet the highest level of accuracy, completeness, and adherence to State of Utah and DHS procurement policies and practices.

Practice Guidelines

This section outlines the process regional and state office managers and administrators must adhere to in processing contracts, amending contracts, implementing sole source contracts, renewing or extending contracts, or revoking contracts with individuals or organizations providing services to the Division or clients we serve.

- A. Contract justification
 1. No contract should be submitted to the state office Contract Administrator for processing until BCM has signed the justification letter for that contract (See RFP Process, Section D for more information on the award letter).
 2. The individual or region submitting the justification letter has the primary responsibility for forwarding the contract to the state office Contract Administrator for processing.
 3. The date BCM signs the justification letter is the earliest possible starting date for that contract.
- B. Sole Source Contracts
 1. In circumstances where a contract for services is sought, but there exists one, and only one, potential provider, the requesting individual or region may submit a sole source request.

2. The submitting individual or region may determine the scope of work, accountabilities, and funding restrictions for the sole source provider. However, the sole source request must meet BCM's level of justification.
3. All sole source requests must be submitted to the state office Contract Administrator, who shall forward the request to the BCM Procurement Officer.
4. The sole source request must be made to BCM on a form of BCM's design or choosing. Any modifications to a sole source request must meet BCM's approval.
5. The region or state office Program Manager, Grant Manager or administrator has primary responsibility to respond to any question, request, or suggestion from BCM. Approval of the sole source request is strictly the domain of the BCM Procurement Officer.
6. The individual or region submitting the contract has the primary responsibility of forwarding the approved contract to the state office Contract Administrator for processing once the BCM Procurement Officer grants the sole source request.

C. Amendment justification

1. BCM has the responsibility to formalize amendments to a contract but requires that DCFS submit program or contract related forms or information needed to help guide development of the amendment.
2. Amendments may be submitted without formal, written approval from BCM. However, a statement of justification or explanation of the purpose of the amendment, used by BCM to support the release of the amendment, should be included with each amendment.
3. Amendments that increase yearly allocations, above those provided in the initial award must also include justification for the dollar increase.

D. Submission of contracts or amendments to BCM.

1. The state office Contract Administrator is the only person authorized to submit documents to BCM. The region or individual developing the document shall NOT submit a document to BCM for processing. Instead:
 - a. Individuals or regions developing a contract or amendment should notify the DCFS Contract Administrator of the document to be processed by sending an email to DCFS Contracts in the GroupWise system, or to DCFSContracts@utah.gov.
 - b. Individuals or regions developing a contract or amendment should gather file attachments required by BCM and send attachments either via mail, e-mail, or fax to the DCFS Contract Administrator.
 - c. If there are electronic files to be sent, they should be included in the email to DCFS Contracts.

- d. The region or state office staff member developing the contract or amendment shall enter information required by BCM into the BCMS system.
 - e. The region or individual developing the grant or amendment should run the applicable BCMS program that edits documents.
 - f. The region or individual developing the contract or amendment should run the BCMS program that assigns a log number for that file.
- 2. The state office Contract Administrator may submit a contract's scope of work to BCM before the contract(s) is submitted.
- 3. BCM may choose to "scrub" the language, or may work with the Division to revise the scope of work and edit its final form.
 - a. In the case where the scope of work has been revised, the Division needs only reference the submitted language when submitting the contract.
 - b. If the division does not submit the scope of work prior to submission BCM will "scrub" the language when received, an action that may delay the processing of the contract.
- 4. In most cases, the state office Contract Administrator will submit the original or edited contract or amendment to BCM through the Bureau of Contract Management Information System (BCMS), a web-driven program.
 - a. BCMS is a gateway to BCM, and in addition to being used for processing documents and identifying the processing status, is used for providing information relating to documents and awards. Use of this program shall be in accordance to BCM's policies and procedures.
 - b. BCMS uses predetermined forms to enter contract related data. It does not have the capability to enter free-form language.
 - c. BCMS allows only specialized fields in BCMS to be changed when contracts or amendment are revised. Therefore, not all changes may be accommodated.
 - d. In addition, the submitting individual or region must also submit a copy of the amendment in MS Word concurrently with BCMS. This document should be as close as possible to the final form to be printed and should include all changes made to the amendment.
- 5. Required attachments:

Type of Contract	Required Attachments
Service Contract – Fixed Amount ("Closed-Ended" or "Defined Total" and "Actual Services/ Approved Budget")	<ol style="list-style-type: none"> 1. Budget Form 2. Service Provider/Sub-recipient Checklist 3. Form W-9 4. Conflict of Interest Disclosure Form 5. If sole source, approved sole source letter 6. If effective after July 1, it may require letter of approval of funding 7. Scope of Work in electronic form if not already approved by BCM
Service Contract – Fixed Amount ("Closed-Ended" or "Defined Total" and "Actual Services/Rate Based")	<ol style="list-style-type: none"> 1. Service Provider/Sub-recipient Checklist 2. Form W-9 3. Conflict of Interest Disclosure Form 4. If sole source, approved sole source letter 5. If effective after July 1, it may require letter of approval of funding 6. Scope of Work in electronic form if not already approved by BCM
Service Contract – Non-Fixed Amount ("Open-Ended")	<ol style="list-style-type: none"> 1. Service Provider/Sub-recipient Checklist 2. Form W-9 3. Conflict of Interest Disclosure Form 4. If sole source, approved sole source letter 5. Scope of Work in electronic form if not already approved by BCM
Vendor Contract	<ol style="list-style-type: none"> 1. Budget Form is optional 2. Form W-9 3. If sole source, approved sole source letter 4. If effective after July 1, it may require letter of approval of funding 5. Scope of Work in electronic form if not already approved by BCM
Children’s Trust Account Contract	<ol style="list-style-type: none"> 1. CTA Budget Form 2. Form W-9 3. If sole source, approved sole source letter 4. Scope of Work in electronic form if not already approved by BCM

Type of Amendment	Required Attachments
Service Contract Amendment – Fixed Amount ("Closed-Ended" or "Defined Total" and "Actual Services/ Approved Budget")	1. Budget Form (if changing the contract amount) 2. If effective after July 1, it may require letter of approval of funding 3. Full amendment prepared in Word
Service Contract Amendment – Fixed Amount ("Closed-Ended" or "Defined Total" and "Actual Services/Rate Based")	1. If effective after July 1, it may require letter of approval of funding 2. Full amendment prepared in Word
Service Contract Amendment – Non-Fixed Amount ("Open-Ended")	1.Full amendment prepared in Word
Vendor Contract Amendment	1.Budget Form (if changing the contract amount and there was a budget in the original contract) 2.If effective after July 1, it may require letter of approval of funding 3.Full amendment prepared in Word
Children's Trust Account Contract Amendment	1.CTA Budget Form (if changing the contract amount) 2.Full amendment prepared in Word

6. Once the state office Contract Administrator has been notified through the DCFS Contracts email of the completed file in BCMS, has all required attachments, and the file has been correctly entered into BCMS, the Administrator will submit the entire package to BCM for processing.

E. BCM processing of contracts and amendments

1. BCM will advise the state office Contract Administrator of any issues or questions that could delay the processing of any contract or amendment. The state office Contract Administrator and all regional contract analysts will work the BCM to address any and all issues as identified by BCM.
2. BCM will prepare a draft of the contract or amendment and forward the draft to state office Contract Administrator for review.
3. Within three business days of receipt of the document the Contract Administrator will review the document and send it to BCM with a completed summary page
4. BCM will prepare official copies for signature.
 - a. If the contract or amendment requires regional signatures, the state office Contract Administrator will forward the copies to the region.
 - i. It is the region's responsibility to secure the provider's signature as well as regional administrators signatures.

- b. If the contract or amendment does not require regional signatures, the state office Contract Administrator will send the document to the provider for their signature.
- 5. Once the provider and the region sign documents (if required), documents shall be presented to the DCFS Director's office for signature.
- 6. Once the Director or his/her designee's signature has been obtained, the documents will be returned to BCM for final processing.
- 7. BCM will obtain final signatures, assign a contract number if the contract is new, enter the document into USSDS, and return the final copy to DCFS.
- 8. The state office Contract Administrator shall make 2 copies. The state office will retain one copy. The original and the second copy are sent to the appropriate region.
- 9. The regional contract analyst shall keep the second copy and send the original document, along with any other information the region deems necessary, to the provider.
- F. If the contract or amendment involves changes to open-ended service code rates, the state office Contract Administrator will enter approvals for those changes on USSDS.
- G. Contract renewal/extension
 - 1. The Program Manager/Grant Manager/Specialist and the DCFS state office Contract Administrator share the responsibility for monitoring the expiration date of contracts.
 - 2. Amendments to extend the end date must be made within the approved time frame of the RFP or Sole Source Approval. No amendment shall extend past the RFP or Sole Source end date without specific approval from BCM.
- H. The individual or region responsible for monitoring the contract is responsible for submitting the renewal justification, or justification for extension, to BCM for processing.

050.4 Purchasing/Contracting-Purchasing

Draft

Practice Guidelines

- A. The process to purchase goods and services from outside vendors is outlined in Department of Administrative Services, Division of Finance procedures located at [Purchasing](#).

050.5 Purchasing/Contracting-Contract Monitoring/Auditing *Draft*

Major Objectives:

DCFS will complete a comprehensive audit of each contract at least once per fiscal year.

Practice Guidelines

The Department of Human Services requires DCFS to complete a comprehensive audit of each contract at least once per fiscal year the purpose of which is to ensure the provider is adhering to the terms of the contract. This section outlines the process to review Division contracts.

- A. DCFS Contract Monitoring Plan
 - 1. During the first quarter of each fiscal year the Bureau of Contract Management (BCM) requires DCFS to update and submit a Contract Monitoring Plan.
 - a. The Plan, as currently submitted, has the following sections and details the requirements for each:
 - i. Agency Organization.
 - ii. General Procedures
 - (A) Provides an overview of the auditing process.
 - iii. Contract Review Procedures
 - (A) Details requirements for conducting an acceptable audit.
 - (B) Is written to provide specific directions without locking an auditor into procedures that may not apply to a particular contract.
 - (C) Assumes the auditor is a professional capable of designing an audit program that meets the needs of any specific contract.
 - iv. Contract Review Reports
 - (A) Indicates which reports are needed to document an audit.
 - v. Corrective Action Procedures
 - (A) Identifies procedures to be followed when a Provider is found to be out of compliance with the terms of their contract.
 - (B) Details Provider responsibilities associated with development and submission of a Corrective Action Plan used to outline the process to be followed to correct deficiencies.
 - vi. Grievance Procedures

- (A) Identifies options by which a Provider may file a grievance in relation to an audit finding.
- vii. Monitoring Schedule
 - (A) Regional contract auditors present a schedule identifying when each contract will be audited during the coming year.
 - (B) As unforeseen issues arise, situations change, or other unexpected developments force a revision to the schedule, not every contract may be audited according to the schedule
- viii. DCFS Monitoring Tools
 - (A) Presents recommended forms to be used when auditing a contract.
 - (B) Each audit may be modified to meet the needs of the provider or contract, therefore, as long as information on the recommended forms is obtained, each auditor is allowed to deviate from use of those forms as they deem necessary.
- b. The purpose of this document is to establish monitoring and auditing procedures to be followed during that fiscal year.
- c. Because BCM allows for, or requires the Plan to be submitted each year, it is an evolving document.
- d. That plan may need revision for the following reasons:
 - i. Changes in personnel or organization
 - ii. Reassignment of duties of BCM or DCFS staff
 - iii. BCM modifies audit requirements
 - iv. Audit techniques are refined
 - v. Other reasons that would justify a modification from previous plans.
- e. The latest version of the Division's Contract Monitoring Plan as submitted to BCM should be the only version used for monitoring or auditing of contracts.

B. Assignment of Contracts

1. The region that administers a contract is also the region responsible for submitting the official, final audit report to the DCFS Contract Administrator and BCM.
2. However, when the region with primary responsibility requests, any other region may assist, support, or on behalf of another region, complete needed audit functions,
3. Nothing in these administrative guidelines or the DCFS Contract Monitoring Plan should forestall collaborative efforts between regions, or between regions and the state office.

- C. Activities Generating Administrative Action
(A task force convened by DHS is currently addressing this topic. This section will be completed when the task force develops their recommendations, and the recommendations are accepted and implemented by DCFS Administration.)

050.6 Purchasing/Contracting-Inter-Agency Agreements

Draft

Major Objectives:

Contracts are legal agreements between the State of Utah and other legal entities. As such, the State of Utah cannot enter into a contract with itself. Therefore, when the need exists for different departments or divisions to form agreements they are encouraged to develop and implement Inter-Agency Agreements.

Practice Guidelines

This section outlines procedures to be followed when developing and implementing an Inter-Agency Agreement.

- A. Inter-agency agreements
1. Are exempt from the normal procurement rules for the state.
 2. Can be initiated, negotiated, and written by anyone in DCFS acting under the direction of the Director, Finance Director, Regional Director, or their designee.
 3. The document shall require the signature of at least one of the aforementioned individuals.
 4. The agreement should have, at a minimum, the following components:
 - a. The identity of both contracting parties,
 - b. The purpose of the agreement,
 - c. The requirements for both parties, also known as the scope of work,
 - d. If an amendment to an earlier agreement, the exact changes to the previous language,
 - e. The fiscal impact, if any, including the appropriate Finet codes,
 - f. The effective date of the agreement, and
 - g. Signature(s) from responsible parties authorized to sign by their respective agencies.
 5. Completed copies of all documents shall be given to the DCFS Contract Administrator.
 6. The DCFS Contract Administrator shall give one copy to BCM.

050.7 **Purchasing/Contracting-Use of State and Personal Equipment** *Draft*

Major Objective:

Employees will properly utilize and account for state owned or funded equipment. When used for work related purposes, employees will also assure authorization is received for use of personal equipment and will ensure that work expenses related to that personal equipment are justified.

Practice Guidelines

This section explains the process to justify and obtain approval for use of both state funded and personal equipment used by a worker in performance of their duties.

- A. Cell phones
 - 1. State funded cell phones
 - a. Division staff should refer to section 06-02 of the Department of Human Services Policies and Procedures [Cell phones](#) for guidance regarding proper use of state funded cell phones.
 - b. All staff requesting a cell phone for work use will need supervisory approval and a statement justifying the work-related need.
 - c. All employees must sign a cell phone user agreement.
 - d. All requests for cell phones and all cell phone user agreements must be retained in a file maintained by the employee's work unit.
 - 2. Personal cell phones used for business purposes.
 - a. Any request to use personal cell phones for work purposes must include a statement explaining the need for use of a phone that is not state funded.
 - b. If a request is not made for use of personal cell phones and these phones are used business purposes, the Division may deny payment.
 - 3. Payment for cell phone services beyond voice services currently offered by the state funded cell phone.
 - a. An employee must submit a written request to Regional or Division Directors including justification for the need for instant e-mail service, unlimited data transmission, or any other cell phone service used in the performance of their work duties.
 - b. If a written request and justification for additional services is not submitted, and approval received, the Division may deny payment for those services and require the employee to pay those charges.
- B. Information Technology Hardware, Software, and Web Resources
 - 1. Use of computer related technology is strictly controlled by the Department of Human Services which will monitor and enforce this

policy to ensure that its employees and other users do not use IT Resources for impermissible personal uses or for any other uses that violate this policy.

2. The following Department policies outline procedures to be followed when utilizing state owned technology resources.
 - a. [IT asset security](#)
 - b. [Software security](#)
 - c. [Appropriate use](#)
 - d. [Clarification of appropriate use](#)
 - e. [Purchase of Hardware](#)
 - f. [End user system development](#)
 - g. [Hardware and software standards and support](#)
 - h. [Web standards and procedures](#)

C. Motor vehicles

1. Policies and procedures relating to use of State owned motor vehicles are published in Rule R27-3 located at [Vehicle Use Standards](#).
 - a. Employees do not have to attend the defensive driving course in order to drive a state vehicle but, they do have to:
 - i. View a 22-minute diving video available through the state office or region's Fleet Manager/Coordinator or Human Resources representative.
 - ii. Obtain a "User ID" for Fleet Focus from the Fleet Coordinator.
2. Use of and reimbursement for use of personal vehicles should be pre-authorized. Policies and procedures relating to use and reimbursement for use of a private vehicle are located on page 23 under Travel-Reimbursements-Transportation located at [Use of Private Vehicle](#).

060.1 Payments/Collections/Budgeting/Forecasting-Payments
Draft

Practice Guidelines

- A. The process for making payments to employees, contractors, or vendors is dictated by the Department of Administrative Services, Division of Finance. Policies and Procedures regarding making of payments to contractors or vendors, which can be accessed at [Payments](#).
- B. Policies and procedures regarding payments specific to the Department of Human Services are outlined in the Office of Fiscal Operations, Fiscal Operations Manual that can be accessed at [Fiscal Operations](#).

Practice Guidelines

- ### 060.3 Payments/Collections/Budgeting/Forecasting-Forecasting *Draft*

Practice Guidelines

- A. The DCFS state office updates each region's forecast model monthly.
 1. The updated forecast model will include current dates, current table figures, and current FINET downloads.
 2. Monthly updates to the forecast model will be sent to regional Administrative Managers for their input.
 3. Regional Administrative Managers will revise the monthly forecast update and return the forecast to the Division Financial Manager.
 4. The Division Financial Manager will compile revised region forecasts into a single Division forecast. And forward that forecast to Department Directors, Program Managers, Regional Financial Managers, and other Division Directors and Managers.

060.4 Payments/Collections/Budgeting/Forecasting-Coding Structure

Draft

- ### 060.5 Payment/Collections/Budgeting/Forecasting-Developing or Changing Region or Office Codes (Updated July 2008)

Major objectives:

To ensure that payments and billings are accurate in USSDS and case information is accurate in SAFE whenever a change to any Child and Family Services' work location is made.

Practice Guidelines

So that payments and billings are accurate in USSDS and worker and case information is accurate in SAFE, the following steps must be followed whenever a change to any Child and Family Services' work location is made (change in office address, zip code, etc.):

- A. The Regional Budget Officer will:
 1. Request and complete the ["Request for New Region/Office or Changes"](#) form and forward the completed form to the Data and Research Manager.
 2. Supply a list of supervisors and workers that will occupy the office to which changes apply.
- B. The Data and Research Manager will designate a staff member from the SAFE Helpdesk who, in cooperation with the Information System (SAFE) Program Director will, if necessary, designate a new office designation alpha code.
 1. The SAFE Helpdesk staff member will make changes and/or add new region/office codes to USSDS.
 2. The SAFE Helpdesk staff member will notify the Data Unit, Federal Revenue Manager, and Federal Revenue Eligibility Specialist of changes made.
 - a. The Federal Revenue Manager will assure that additions and changes are made in the RMS.
 3. The Safe Helpdesk staff member will notify the Budget/Accounting Supervisor, who will be responsible for adding new region/office codes to the purchase service code in FINET.
 4. The SAFE Helpdesk staff member will move worker and applicable case records of supervisors and workers supplied by the Regional Budget Officer to the new location.
 5. The SAFE Helpdesk staff member will notify the Administrative Hearing Tracker of changes, who will be responsible for notifying State Archives of the new office designation.
 - a. The State Archives Specialist will assign a new retention series for the new office and notify the Administrative Hearing Track of the new series.
 - b. The Administrative Hearing Tracker will notify the regional archive staff of new series numbers.

6. The SAFE Helpdesk staff member will notify the state office receptionist of the location and telephone numbers of new offices, as well as will send an email to all staff notifying them of those changes.
7. The Information System (SAFE) Program Director will be responsible for making region budget code additions or changes to SAFE.

060.6 Payments/Collections/Budgeting/Forecasting-Grants and Awards

Draft

Practice Guidelines

This section will outline processes and responsibilities associated with applying for and obtaining grants and awards from Federal, private non-profit, foundation, business and industry, or other sources providing funding that support the provision of services provided by Child and Family Services in the State of Utah.

- A. Department of Human Services as funded entity.
 1. The Department of Human Services will be listed on all grant applications as the entity applying for receiving, and responsible for accounting for funding.
 2. All Federal, foundation, local, and private grant applications must be submitted to the Department and signed by the Executive Director prior to presenting an application to the granting entity.
 3. Grant packages should be submitted for approval to the Department 30 days prior to the due date.
 - a. If this is not possible, at a minimum, applicants should allow at least 7 days for Department approval.
 - b. It is possible to obtain approval on a walk-through with shorter notice but should be avoided wherever possible.
- B. Federal Plans, Grants, Reports.
 1. Entitlement grants.
 - a. IV-E.
 - i. The purpose of this funding is to enable States to provide, in appropriate cases, foster care, transitional independent living programs, and adoption assistance for children with special needs.
 - ii. This plan is submitted when significant changes to policies, procedures, laws, or programs and services are required.
 - iii. The State office Revenue Team is the entity responsible for preparation of Title IV-E plan.
 - iv. Revenue Team Manager is the person responsible for preparation of the plan.

- v. A program improvement plan is required if the State is found “not in substantial compliance” with IV-E eligibility provisions.
 - vi. A IV-E review is normally conducted every 3 years. If the State is found “not in substantial compliance” with IV-E eligibility provisions another review will be conducted following the publication of a program improvement plan.
- 2. Formula grants.
 - a. Child and Family Service Plan.
 - i. Funding sources and purpose of funding:
 - (A) Funding from the Child Abuse Prevention and Treatment Act (CAPTA) supports child abuse and neglect prevention, assessment, investigation, prosecution, and treatment activities and also provides grants for demonstration programs and projects.
 - (B) Funding from the Chafee Independent Living Act (CFCIP) ensures that young people involved in the foster care system receive services and support that will enable them to successfully transition to independent living. It enables participants to receive education and training including vocational training, provides training in daily living skills, budgeting, locating and maintaining housing, provides for individual and group counseling, enable older youth 18-21 to receive housing assistance, provides for the establishment of outreach programs, provides each participant with a written independent living plan, and allows participants to remain eligible for Medicaid up to age 21.
 - (C) Education and Training Voucher (ETV) funding, while integrated into the overall purpose and framework of CFCIP, has a separate budget authorization and appropriation from the general CFCIP program. ETV helps meet the education and training needs of youth aging out of foster care including (1) youth otherwise eligible for services under the State CFCIP program (2) youth adopted from foster care after attaining age 16; and (3) youth participating in the voucher program on their 21st birthday, until they turn 23 years old, as long as they are enrolled in a post secondary education or training

program and are making satisfactory progress toward completion of that program.

(D) Funding associated with Title IV-B Part 1 helps states protect and promote the welfare of all children; prevent the neglect, abuse or exploitation of children; supports at-risk families through services which allow children to remain with their families or return to their families in a timely manner; promotes the safety, permanence and well-being of children in foster care and adoptive families; and provides training, professional development and support to ensure a well-qualified workforce.

(E) Title IV-B Part 2, Promoting Safe and Stable Families funding enables States to develop, establish, or expand, and to operate coordinated programs of community-based family support services, family preservation services, time-limited family reunification services, and adoption promotion and support services.

- ii. This plan is due on every five years on June 30th.
- iii. The state office Revenue Team is the entity responsible for preparation of this document.
- iv. The Federal Revenue Manager is the person responsible for preparation of this document.
- v. An Annual Progress and Services Report, prepared by the Revenue Team, is due yearly on June 30th
- vi. Reviews are conducted every 5 years unless the state is found, at any time, not to be found operating in "substantial conformity."

b. The purpose of Community Based Child Abuse Prevention (CBCAP) funding is a) to support community-based efforts to develop, operate, expand, enhance, and network initiatives aimed at the prevention of child abuse and neglect b) to support networks of coordinated resources and activities to better strengthen and support families to reduce the likelihood of child abuse and neglect; and, c) to foster an understanding, appreciation, and knowledge of diverse populations in order to be effective in preventing and treating child abuse and neglect.

- i. This grant is normally due yearly by May 15th.
- ii. The state office Revenue Team is the entity responsible for preparation of this grant
- iii. The Federal Revenue Manager is the person responsible for preparation of this grant

- iv. An annual report, prepared by the Revenue Team, is due yearly on December 31st.
 - c. The purpose of Family Violence Prevention and Services Act (FVPSA) funding is to assist states in establishing, maintaining, and expanding programs and projects to prevent family violence and to provide immediate shelter and related assistance for victims of family violence and their dependents.
 - i. The grant is normally due yearly on February 15th.
 - ii. The state office Revenue Team is the entity responsible for preparation.
 - iii. The Domestic Violence Program Manager and state office Revenue have joint responsibility for preparation of this grant. An annual report, prepared by the Revenue Team, is due yearly on December 31st.
 - d. Discretionary grants are used to develop new or support existing Division programs and services and, usually support national child welfare service delivery priorities
 - i. Due dates for proposals vary and are outlined in an agencies "Request for Proposals."
 - ii. The Revenue Management Team normally prepares these grants.
 - (A) Before Regions make application, Regions must contact the Federal Revenue Manager or state office Program Manager affiliated with the proposed program or service to be delivered.
 - iii. State office or region grants and program staff are the individuals normally responsible for preparation of these proposals.
 - iv. Reporting requirements are outlined in the funding agency's Request for Proposals.
3. Foundation, Non-Profit, Corporate, and other grants and awards Purpose of funding.
- a. Are usually smaller grants that support Division programs and services.
 - b. The due date for proposals varies in accordance with the agency's application guidelines.
 - c. Regions or the state office grants or program staff may prepare applications.
 - d. Regions should notify state office Program Managers of potential grants affecting the Manager's program area.
 - e. Reports are made to the funding agency in accordance with the agency's application guidelines.

- C. Division. Department and Governor's approval and authorizations.
1. All aspects of a grant document prepared by the Division or its regions must be approved by the Division Director (or in that persons absence, a Deputy Director) including but not limited to:
 - a. The grant concept.
 - b. Budget.
 - c. State match needs.
 2. Procedure to gain approval:
 - a. Prepare a summary of the basic grant requirements.
 - b. Submit the summary to the Revenue Team Manager for review.
 - c. When approved, submit the original to the Division Director with copies to the administrative team and relevant program managers.
 3. Documentation required to be submitted with applications may include:
 - a. Form 424 (not 424A or 424 B) used for seeking approval to submit Federal grant applications and, when required, for submission of Federal grants. This form is also used for grant review by the Department, Governor's Office, and when required by statute, the Legislative Appropriations Committee.
 - i. Ongoing grants do not require submission of the Form 424, and in this instance is completed only for internal review.
 - ii. Private grants, such as foundation grants, still require approval by the Department but do not require review by the Governor's Office or State Legislature and so do not require the completion of the Form 424.
 - iii. Please contact the Revenue Team located in the state office for instructions on completing this form.
 - b. GOPB Budget Impact Form is used for grant review and approval by the Department, Governor's Office, and when required by statute, the Legislative Appropriations Committee.
 - i. Private grants, such as foundation grants, still require approval by the Department but do not require review by the Governor's Office or State Legislature so do not require the completion of the GOPB Budget Impact Form.
 - ii. Please contact the Revenue Team located in the state office for instructions on completing this form.
 - c. Grant abstract or grant goals and objectives.
 - d. Documents, including cover letters and memoranda that require authorizing signatures, or initialed approval, before submitting to the Department.
 - i. The Division Director must review all documents requiring approval from the Department Executive Director.
 - ii. If possible, the Revenue Team Manager should review each grant package before submission to the Division Director.

- e. Lobbying certification form.
 - f. Other certifications or assurances to be signed by Governor's Office or Department administration.
 - i. If any documents need to be signed by the Governor, include a copy of documents in the grant package with a note that they require the Governor's signature.
 - ii. The Revenue Team Manager will submit an electronic copy of these documents to the Executive Secretary in the Department of Human Services Executive Director's Office, who will initiate the signature request process with the Governor's office.
 - g. Please contact the Revenue Management Team for guidance on the internal review process and other documentation needed to internally process a grant application.
4. Notification of Approval
- a. Department approval to submit the grant will be forwarded to the preparer by the Office of Fiscal Operations Fiscal Manager for grants.
 - b. The Fiscal Manager for grants will also return any documents that require Department signature.
 - c. That person will also notify the preparer by e-mail of the State Application Identification number (SAI) to be included on documents requiring that number.
 - d. For documents submitted to the Governor's office for approval, the Executive Secretary in the Department of Human Services Executive Director's Office will provide notification when forms are ready to be picked up at the Governor's Office.
- D. Legislative review
- 1. All grants, other than those authorized by the Social Security Act, require legislative review including those relating to the FVPSA, CAPTA, and CBFERS.
 - 2. Discretionary grants may also be subject to legislative review.
- E. Grants proposed by or submitted by other State agencies, contractors, non-profits, or other organizations where the Division may become a partner, provider of services, or sub-contractor.
- 1. No Division employee will agree to become a participant in a grant proposed, developed, submitted, or implemented without the approval of the Division Director or his/her designee.
 - 2. No division employee will supply Division, Region, or program related personnel or program and service information or data without the

authorization of Region management or the state office Data/Research Manager.

070.1 Audit Reviews and Responses-Quality Assurance

Practice Guidelines

The purpose of this section is to identify and describe the three mandatory review processes and one administrative tool used to analyze and evaluate the Division's success at meeting its goal to use identified best practices to provide quality programs and services that meet federal and state requirements and regulations.

- A. DCFS Role in Qualitative Case Review
 - 1. Qualitative Case Reviews:
 - a. Measure the child and family status as well as system performance as they relate to services delivered to children and families by the Division.
 - b. Is not a review of casework compliance with federal, state or other procedures or regulations.
 - c. Focus on casework "best practices."
 - d. Rely on face-to-face interviews with members of the child and family team (including the family) that provides support to the child and family.
 - 2. DCFS Region responsibilities
 - a. If the child is not in DCFS custody, regions will obtain the consent of the parent/guardian of the child designated as the target child for the review to participate in the review.
 - b. Regions will schedule interviews with clients, providers, and others participating in the review.
 - c. Regions will ensure that the primary worker assigned to a case under review, will attend both an initial interview and an exit interview with reviewers. If the worker is not able to attend these interviews the supervisor or other region administrator will attend.
 - d. Regions will help ensure that the review runs smoothly by providing reviewers with information and office accommodations.
- B. DCFS Role in Case Process Review
 - 1. Case Process Reviews:
 - a. Review case documentation to evaluate caseworker compliance with Division practice guidelines, principles that identify minimal service delivery standards in the areas of Child Protective Services, Home Based Services and Foster Care Services.
 - b. Identify whether a service delivery activity was completed but do not evaluate the quality or effectiveness of an activity.

2. Region responsibilities
 - a. Regions will provide any documentation that might allow reviewers to appropriately score questions.
 - b. Whenever possible, Regions will assist reviewers by having the caseworker associated with a case attend a meeting following the review.
 - iii. If this is not possible, the region will have either the supervisor or a region administrator attend the meeting.

C. DCFS Role in Trend Data Analysis

1. Trend Data Analysis:
 - a. Formally reviews sixteen data elements that evaluate service delivery to children and families in the broader view of protection, permanence, and well being, and, ultimately identifies trends in data that show progress in the areas of child protective, out-of-home, and in-home services and treatment.
 - b. Three separate committees review trend data on a quarterly basis and watch for significant changes in data indicators. These committees include:
 - i. An internal committee comprised of program managers and Region quality assurance administrators known as Milestone Coordinators.
 - ii. The Division's state administrative team including Region Directors.
 - iii. External Quality Improvement Committees consisting of citizen volunteers.
 - c. After drawing conclusions based on their collective knowledge of the system and trends identified, each group will generate and deliver minutes of their meeting to the state administration team. Minutes will include:
 - i. Data discussed.
 - ii. Trends identified.
 - iii. Recommendations the committee feels will influence trends and thus improve both data collection and outcomes for children and families served.
 - d. The state administration team will review the following quarter's minutes from the trends and QI committee meetings and will determine any actions to be taken based on the recommendations provided by those committees.
 - e. The state administration team will report back to committees during the quarter following the one in which the recommendations were made. Reports will include

- i. Steps taken by the administrative team to address recommendations.
 - ii. Outlines of state and region action plans formulated in response to the recommendations.
- D. Changes and modifications to review tools or the review process.
 - 1. Significant modifications to review tools or the review process may be made by DCFS in order to comply with or implement changes in the law. The State Quality Improvement Committee (QIC) will receive written notice to include:
 - a. The proposed change.
 - b. A summary of the reason for the change.
 - c. The proposed date of the implementation of the change.
 - 2. The State QIC will have no fewer than 45 days to comment on the proposed change (the proposed date for change must be at least 45 days after the notice is given).
 - 3. DCFS will give full, fair and good faith consideration to all comments and objections received, and will notify the State QIC in writing of their decisions regarding the QIC's comments and reasons supporting their decision.
 - 4. DCFS will provide information on all material changes in its Annual Report.
 - 5. To assure that review findings are objective and maintain high inter-rater reliability, the content of questions within review tools may be modified.
 - a. Modifications may include collapsing or combining questions as long as another question will evaluate the same issue and deliver similar data.
 - b. The frequency of reviews may be modified.
 - i. Modifications will not provide for less than annual reviews, eliminate reviews, or change the major focus of the review without the consent of groups (listed in B2) that review trend data.
- E. Supervisor Finishing Touches (SFT)
 - 1. Is not a formal review but is an administrative tool used by supervisors and regional administrators to evaluate the effectiveness of services provided by a worker and formulate recommendations that may help a worker better meet the needs of their clients.
 - 2. Required responsibilities of supervisors
 - a. Supervisors will perform two SFT reviews per worker per month.
 - b. Supervisors will ensure results of reviews are entered in SAFE.

070.2 Audit Reviews and Responses-Quality Improvement Committees

Practice Guidelines

The purpose of this section is to outline Quality Improvement Committees (QICs), Region, and state office responsibilities that support QIC activities required by the Milestone Plan, the 2007 stipulations pertaining to the exit of that plan, and activities expected of CPS Citizen Review Panels (CRP) as mandated by the Child Abuse Prevention and Treatment Act.

- A. Each region is required to establish, maintain and support a local QIC.
 - 1. Each committee will be composed of citizen and community partners living or practicing within a region's jurisdiction.
 - 2. Each committee will be lead by a citizen chair.
 - 3. QICs will conduct at least 10 monthly meetings every year.
 - 4. At least yearly, each regional QIC will invite the following agencies to a committee meeting and receive reports that relate to child welfare trends or the status of child welfare services.
 - a. The Office of Services Review will report on Qualitative Case Review and Case Process Review outcomes.
 - b. The Office of Child Protection Ombudsman will report on trends pertaining to client and consumer complaints about services delivered by the Division.
 - c. The Department of Human Services Fatality Review Committees will present the Fatality Review Report.
 - 5. Committees may review cases, DCFS policies, procedures, and data to develop recommendations designed to improve processes and outcomes relating to the Division's foster care, in-home, transition to adult living, domestic violence, kinship and other Division programs and services.
 - 6. Acting as the Citizen Review Panel (CRP) as required by the Child Abuse Prevention and Treatment Act, QICs will examine policies, procedures, and practices, and specific cases when appropriate, to evaluate the extent to which the child protective services system is successfully discharging protection responsibilities in accordance with provision specified in 107.c of the Act.
 - a. Each committee will produce a quarterly summary that will include a description of data reviewed, public relation activities, special studies conducted, CPS and Domestic Violence related issues as well as their involvement in the Qualitative Case Review process.
 - 7. All recommendations or action plans developed by QIC's will be in writing and conveyed to both the regional office they represent and Division administration.

- B. The DCFS state office is responsible for the establishment, maintenance and support of a statewide QIC.
 - 1. The statewide QIC will serve as the conduit for information and ideas presented by regional QICs.
 - a. The statewide QIC will develop, operate, update and maintain the QIC website designed to aid in convenient access to information.
 - b. At least yearly the statewide QIC will invite agencies listed in A. 4. above to a committee meeting and receive reports that relate to child welfare trends or the status of child welfare services.
 - c. The statewide QIC will produce a quarterly summary that will include a description of data reviewed, public relation activities, special studies conducted, CPS and Domestic Violence related issues as well as their involvement in the Qualitative Case Review process and submit that report to Division administration.
- C. Division administration will respond to QIC recommendations or proposed action plans within 30 days of receipt.

070.3 Audit Reviews and Responses-Audit Reviews

Practice Guidelines

This section identifies Department and State agencies having the responsibility to audit and review the Division's financial status, compliance with Federal policies and guidelines, as well as compliance with State statute and rules.

- A. The Bureau of Internal Audit and Review (BIRA)
 - 1. Performs reviews and audits of DCFS regional offices on a scheduled basis to ensure compliance with established policies and procedures, evaluate service delivery efficiencies, and policies that pertain to the safeguarding of DHS records and assets.
 - a. BIRA will notify the Finance and Information Systems Director, Budget and Accounting Manager, Budget and Accounting Supervisor, Region Director, and other staff involved by e-mail of their intent to conduct an audit or review as well as the date they intend to conduct audits or reviews.
 - b. All Division staff will cooperate with BIRA auditors and provide pertinent financial or service delivery information as requested.
 - 2. Following an audit or survey, BIRA will distribute their findings to those involved in the audit or review.
 - a. Regional Directors will respond to BIRA findings outlining steps staff will take to resolve issues or comply with audit findings.

3. BIRA will perform a follow-up review when Region Directors report that changes that correct negative findings have been made or that findings have been resolved.
 - a. If the finding is no longer evident, BIRA will not report the finding.
 - b. If the finding is still relevant, BIRA will again notify the Region of the finding.
 - c. Upon notification of a finding, the Regional Director will be required to once again respond to BIRA.
 - d. Regional Directors will send a copy of the region's action plan to the Finance and Information Systems Director, Budget and Finance Manager and the Budget and Accounting Supervisor.
 4. BIRA retains the option to change the schedule of reviews and audits based on the level of Regional compliance with policies and procedures.
- B. Utah State Auditor's Office
1. State Auditors perform Department audits yearly. State Auditors will notify the Department of dates audits will be performed.
 2. Regions will cooperate with and provide information to auditors as needed.
 3. Department and Division administrators will receive a copy of the audit report and will respond to findings when necessary.

080.1 Research, Data, and Data Reporting-Research

Applicable Law

FDA 21 CFR 50

FDA 21 CFR 56

DHHS 45 CFR 46

Utah Code Ann. §52-4-1 through 7, Open and Public Meetings

Utah Code Ann. §53A-13-301, Application of State and Federal Law to the Administration and Operation of Public Schools

Utah Code Ann. §63-2-101 through 909; GRAMA; Utah Code Ann. §62A-3-302, Purpose of Adult Protective Services Program

Utah Code Ann. §62A-4a-403, Reporting Requirements

Major Objective:

The Division of Child and Family Services is committed to cooperating with universities and other external and internal researchers to identify situations and conditions that positively and negatively affect children and families, assess and validate forms of treatment and service, and evaluate the effectiveness of division programs and services delivered to Utah's children and families.

Practice Guidelines

This section outlines responsibilities of employees as well as internal and external individuals or agencies considering conducting research or coordinating research that involves DCFS data, clients, or employees.

- A. Definition-“Research” as defined by Federal regulations is a “systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge.” Research may include qualitative or quantitative analysis of pre-collected data, or analysis of data collected from human subjects (clients or workers) via observation, survey, interview, or other means.
- B. Phases
 - 1. Initiation phase
 - a. Employees, or internal or external individual or agencies, considering conducting research, or coordinating with a researcher on a project that involves DCFS data, clients, or employees, are encouraged to contact the DCFS Data/Research Manager when formulating the project. (*Note: currently the DCFS Data/Research Manager is Navina Forsythe 801-538-4045).
 - b. The DCFS Data/Research Manager will:
 - i. Review the research plan
 - ii. Advise the researcher of State or Federal laws that might influence the feasibility, design, or scope of the project
 - iii. Identify data or practices that will help facilitate completion of the project
 - iv. Notify the researcher of the need for application to the Department of Human Services Institutional Review Board (DHS IRB).
 - c. The Data/Research Manager and other relevant DCFS personnel must approve the proposal before research can begin.
 - i. If the research is in the best interests of DCFS, the Data/Research Manager will convene relevant state office and regional DCFS staff who will determine to what degree DCFS will support the project.
 - ii. DCFS retains the right to refuse access to records, clients, or employees if the Data/Research Manager or other relevant personnel determine that the research will provide no benefit to the organization or will cause an undue burden on staff workload.
 - iii. Once the Data/Research Manager and other relevant personnel agree to support the research, the Data/Research

Manager will work with the researcher to finalize an acceptable proposal for submission to the DHS IRB.

(B) If applicable, DHS IRB approval must be secured before research can begin.

(C) Only the Data/Research Manager can submit a proposal to the DHS IRB.

2. Active research phase

a. During the active research phase the researcher may execute the project only as outlined in the proposal approved by the DCFS Data/Research Manager, relevant staff, and if applicable, the DHS IRB.

b. The Data/Research Manager, and if applicable, the DHS IRB must approve any changes to the design or scope of research or research methodology before the researcher may implement changes.

c. Annual research status updates are due yearly, before the month and day of original approval, and must be submitted to the DCFS Data/Research Manager.

3. Completion

a. A final report, outlining research findings, is required within four months of termination of the research project.

i. Not providing a final report in a timely manner may be grounds to refuse future research proposals developed by the researcher.

080.2 Research, Data, and Data Reporting-Data Sources

Practice Guidelines

A. DCFS programs and service delivery data sources include:

1. SAFE

a. This database is the state automated child welfare information system designed for use by DCFS and includes case, person, provider payment, and practice and service data relating to DCFS clients.

2. USSDS

a. This database currently holds all provider information, residential contracts and other vendor information.

i. Provider contracts, approvals, and rates are entered into USSDS and downloaded to SAFE nightly.

b. All provider codes and rates, as well as all client based payment histories, are maintained in USSDS.

c. All payments are made through USSDS and payroll is balanced in USSDS.

3. FINET
 - a. Includes budget and accounting related information.
4. Data warehouse
 - a. Includes data from numerous other systems including DCFS, DJJS, DSPD, Human Resources, DWS, and USSDS.

080.3 Research, Data, and Data Reporting-Verification and Distribution of Data

Practice Guidelines

Because data regarding DCFS clients, programs, and services may be complex and difficult to understand, DCFS staff must verify the accuracy of information and the interpretation of that information prior to internal or external release or distribution. Following is the process to be followed in order to verify the accuracy of data and individuals interpretation of data.

- A. Verification and distribution of data
 1. Data in published reports (e.g. annual report, quarterly report) on the website may be used without other permission.
 2. Data from other sources that are not published on the website (e.g. data from SAFE reports) must be reviewed for accuracy with designated data experts. Those experts and the information they are responsible for reviewing include:
 - a. Budget officers, and ASMs for any financial data
 - b. State office or Regional Information Data Analysts for client, program, service delivery, or other Division related data.
 3. Regional caseworkers, support staff, supervisors, and CSMs must obtain approval from regional or state administration and data experts prior to release or use of data by individuals or groups outside of the agency.
 - a. Unless data has been reviewed by the Division Data/Research Manager and notification provided by the Data/Research Manager that the release is authorized through approved waivers of informed consent (per DHHS 45 CFR 46), GRAMA, or interoffice Memorandums of Understanding related to data sharing as allowed by law, only aggregate, non-identifying information may be released without client consent,
 4. Regional caseworkers, support staff, supervisors, and CSMs must obtain approval from regional or state administration and data experts prior to release or use of data by individuals or groups inside of the agency requesting information outside of their immediate work group.
 - a. Unless data has been reviewed by the Division Data/Research Manager and notification provided by the Data/Research Manager that the release is authorized through approved waivers of

informed consent (per DHHS 45 CFR 46), GRAMA, or interoffice Memorandums of Understanding related to data sharing as allowed by law, only aggregate, non-identifying information may be released without client consent,

- B. Person specific information cannot be released without proper-signed consent. Unless data has been reviewed by the Division Data/Research Manager and notification provided by the Data/Research Manager that the release is authorized through approved waivers of informed consent (per DHHS 45 CFR 46), GRAMA, or interoffice Memorandums of Understanding related to data sharing as allowed by law, only aggregate, non-identifying information may be released without client consent,

080.4 Research, Data, and Data Reporting -External Requests for Information

Practice Guidelines

- A. DCFS frequently responds to requests for data and information from external individuals or agencies. DCFS may support student projects, grant proposals, program evaluations, demographic information, and research proposals.
 - 1. Data that is not in a published report may be obtained by submitting a request for information form to the State office or regional data information analyst. DCFS will respond to these requests depending on workload and availability of data.
- B. If the request requires programming, research, or copying, then charges may be assessed.
 - 1. Copy costs
 - a. If the information requested is currently available in printed form or can be copied on 10 or fewer pages, the information will be provided at no cost.
 - b. If a document must be copied on 11 or more pages, the person or agency requesting information may be charged at a rate of \$0.10 per page. This rate will include associated labor costs for researching and copying information.
 - 2. Programming/analyst costs
 - a. If the request requires computer programming to extract the data from the information system, the requestor may be billed at the rate of \$45 per hour. This charge covers programmer labor and use of the computer facilities.
 - b. If the request requires analyst time to research specific data or extract and/or summarize information from programmed reports, billing may be at the rate of \$25 per hour.

- i. When a request involves costs of this type, the requestor will be given a cost estimate.
- ii. The requestor may accept or decline a cost estimate, or may use the estimate to revise the amount or scope of information desired.

080.5 Research, Data, & Use of Data- Access, Protection, and Release of Confidential Case Information Adherence to the Government Records Access and Management Act (GRAMA)

Practice Guidelines

- A. GRAMA categorizes information found in government records into four areas:
 1. Public Records are those that are open to everyone. Examples include laws, final opinions made in a judicial proceeding, final interpretation of statutes or rules, minutes from open meetings, compensation paid to a contractor or private provider, summary data and work related information regarding government employees including name, gender, compensation, job title, job description, business address and telephone number, and number of hours worked per pay period,
 2. Private records include information about individuals. This information may only be accessed by those individuals and others specified in U.S.C. 63-2-202. Private records include those relating to unemployment insurance benefits, social services, welfare benefits, or others that determine benefit levels. They also include records about medical history, diagnosis, condition, treatment, evaluation or other similar medical data and the following regarding public employees: home address, home telephone number, social security number, insurance coverage, marital status, and payroll deductions.
 3. Controlled records are those that may only be released to certain individuals such as social workers and health care providers and may not be disclosed to the individual to whom they pertain. Records may include medical, psychiatric, or psychological data about an individual that if released to the individual may prove to be detrimental to the individual's mental health or safety.
 4. Protected records generally include non-personal data that may only be released to the person that submitted the information including records concerning trade secrets, commercial information or non-individual financial information, test questions and answers, audit procedures, or records that might jeopardize the life or safety of an individual.
- B. Classification of records:
 1. A record generated as a result of a CPS report is considered to be a private, protected, or controlled record and may be released only to:

- a. A police or law enforcement agency investigating a report of known or suspected child abuse or neglect
- b. A physician who reasonably believes that a child may be the subject of abuse or neglect
- c. An agency that has responsibility or authority to care for, treat, or supervise a minor who is the subject of a report
- d. A contract provider that has a written contract with the division to render services to a minor who is the subject of a report
- e. Any subject of the report, the natural parents of the child, and the guardian ad litem
- f. A court, upon a finding that access to the records may be necessary for the determination of an issue before the court, provided that in a divorce, custody, or related proceeding between private parties, the record alone is:
 - i. Limited to objective or undisputed facts that were verified at the time of the investigation; and
 - ii. Devoid of conclusions drawn by the division or any of the division's workers on the ultimate issue of whether or not a person's acts or omissions constituted any level of abuse or neglect of another person
- g. An office of the public prosecutor or its deputies in performing an official duty.
- h. A person authorized by a Children's Justice Center.
- i. A person engaged in bona fide research, when approved by the director of the division, if the information does not include names and addresses.
- j. The State Office of Education, acting on behalf of itself or on behalf of a school district, for the purpose of evaluating whether an individual should be permitted to obtain or retain a license as an educator or serve as an employee or volunteer in a school, limited to information with substantiated findings involving an alleged sexual offense, an alleged felony or class A misdemeanor drug offense, or any alleged offense against the person under U.S.C. Title 76, Chapter 5, Offenses Against the Person, and with the understanding that the office must provide the subject of a report received under Subsection (1)(k) with an opportunity to respond to the report before making a decision concerning licensure or employment.
- k. Any person identified in the report as a perpetrator or possible perpetrator of child abuse or neglect, after being advised of the screening prohibitions.
- l. A person filing a petition for a child protective order on behalf of a child who is the subject of the report.

- m. A licensed child-placing agency or person who is performing a preplacement adoptive evaluation in accordance with the requirements of U.S.C. Section 78-30-3.5.
 - 2. Adoption records are considered to be private, protected, or controlled records except:
 - a. Where courts have ordered petitions for adoption, written reports and any other documents filed in connection with a hearing be sealed, items are not open to inspection or copying except:
 - i. Upon order of the court expressly permitting inspection or copying,
 - ii. When Records have become public on the one hundredth anniversary of the entry of the final decree
 - iii. If the adoptee is an adult at the time the final decree of adoption is entered
 - b. In cases where adoptive parents and the birth family have formed an agreement allowing sharing of information and/or maintaining a relationship between the child and members of the birth parents families, including grandparents and other identified relatives.
 - 3. All other records generated as a result of reports of domestic violence, or that relate to foster care or kinship placements, actions or services to Indian children that pertain to the Indian Child Welfare Act, or services delivered to children transitioning to adult care are considered to be private, protected, or controlled.
- C. Cases in SAFE are confidential and considered to be private, protected, or controlled records. DCFS staff will have limited access to these records with the following exceptions:
 - 1. Regional directors and the statewide administrative team, including the Executive Director, Deputy Director, Finance and SAFE directors, may have access to confidential cases.
 - 2. The SAFE helpdesk has the right to access confidential cases so that they may support workers, correct data, or set up rights for others if given approval by individuals listed in A1, A3, A4, and A5.
 - 3. As the SAFE Manager tests for confidential case functionality, the SAFE Manager will have the right to access confidential cases and/or may grant approval to access confidential cases to SAFE Information Analysts.
 - 4. As the Data/Research Manager responds to requests for data involving confidential cases, the Data/Research Manager will have the right to access confidential cases and/or may grant approval to access confidential cases to members of the Data Unit.
 - 5. At their discretion, Regional Directors and the statewide administrative team, including the Executive Director, Deputy Director, Finance and

SAFE directors may grant the right to access confidential cases to other staff.

- D. Information may be released in situations where information is authorized under GRAMA, is covered by an interagency Memorandum of Understanding, or is allowed by other applicable laws.
 - 1. In order to release information to agency personnel outside of the division, the individual supplying information must obtain a written consent from the client.
 - 2. If the client consents to the release of information, the worker may provide that information to the requestor only if proper verification of identity is provided.
 - 3. If there is more than one subject of a private or controlled record, the portion of the record that pertains to another subject shall be segregated from the portion that the requester is entitled to inspect.
 - 4. No information will be released on the phone unless there is verification of the identity of the caller.
- E. In order to ensure client information is kept confidential, a number of precautionary measures should be taken including:
 - 1. Confidential information should never be left lying on desks, fax machines, or other areas that are not secure.
 - 2. Confidential information required as part of a research or work project should not be downloaded onto portable USB devices, CD's, discs, or other portable media unless properly password protected and/or encrypted.
 - 3. Confidential information should not be emailed to non-DCFS personnel or outside of the state network system without proper authorization and password protection.

080.6 Research, Data, and Data Reporting-Ensuring Accurate, Timely, and Complete Data Recording

Practice Guidelines

- A. Workers and their supervisors will be held jointly responsible for ensuring that case data entered into various data systems (e.g. SAFE, USSDS, FINET) is done in a timely manner and is accurate and complete.
 - 1. High priority information, especially those regarding removals and placements must be entered into SAFE within 5 days receipt of that information.
 - 2. All other information must be entered no more than two weeks following receipt.

- B. Regional or State Administration, state office Program Managers, supervisors, the Safe helpdesk, the SAFE team, the Data Unit, Eligibility Workers, or Finance Team members may request that caseworkers or their supervisors add new or missing information, or correct existing information.
 - 1. Entry of new, missing, or corrected data should be completed within 5 days of the request.
- C. The SAFE helpdesk, Data Information Analysts, the SAFE help tab, or State office Program Managers may offer guidance regarding the process to enter new, missing, or corrected information into the various data systems.

090.1 Forms and Records Retention-Creation of Forms *To Be Developed*

090.2 Forms and Records Retention- Retention of Written Records *Draft*

Practice Guidelines

- A. Generally, retention of client related records should conform to policies [DCFS Record Retention](#) mandated by the Department of Administrative Services, State Archives and approved by the State Records Committee.
- B. Retention of files or documents that relate to personnel, conferences, committees, boards, administrative hearings, legal opinions, or other administrative records of a general nature should conform to the schedule mandated by the Department of Administrative Services, State Archives located at [Administrative Documents](#).
- C. Records, files, or other work related documents that do not contain client or employee related personal information, or do not relate to Division administrative activities may be destroyed when no longer needed.

090.3 Forms and Records Retention-Retention of Audio/Vision Records

To Be Developed

090. 4 Forms and Records Retention-Recycling and Destruction of Records

Draft

Major Objectives:

The Division will assure that personal or confidential information collected and placed on any document will be disposed of in a manner that will assure that no person will be able to obtain that information once removed from Division files.

Practice Guidelines

The purpose of this section is to differentiate policies regarding destruction of records containing non-confidential or confidential personal information.

A. State Office

1. Recycling of confidential files or files with personal information
 - a. All personal or confidential paperwork or files should be placed in “shred” bins supplied by DHS maintenance.
 - b. DHS maintenance will collect those bins and place them in a secure area until the shredding contractor arrives.
 - c. Paperwork should be free of clips, binders, hanging file folders, or other fasteners containing metal (other than staples).
 - d. Shredding takes place every Friday.
2. Recycling of all other paper or files
 - a. Paperwork or files not containing personal or confidential information may be placed in the blue recycle cans positioned throughout the DHS building.
 - b. That paperwork is collected and placed in a non-secure area with all other departmental non-confidential paper.
 - c. Paperwork should be free of clips, binders, hanging file folders, or other fasteners containing metal (other than staples).
 - d. Shredding takes place every Friday.
3. Recycling of paperwork or files on site.
 - a. In the case where the division has large quantities of confidential documents that cannot be removed from the building without being shredded, the Director or Deputy Directors are authorized to approve on-site shredding.

B. Regional Offices

1. Regional offices are authorized to develop their own procedures for disposal of confidential and non-confidential files.
2. Region Directors will, at the least, assure that all confidential files are shredded and destroyed in a manner that will guarantee that no personal or confidential information can be obtained from files or records.

**090.5 Forms and Records Retention-Recording and Retention of
Records in SAFE**

To Be Developed

090.6 Forms and Records Retention-Data Sources

To Be Developed

090.7 Forms and Records Retention-Reports Due

To Be Developed

**090.8 Forms and Records Retention-Administrative Forms
(Updated July 2008)**

Practice Guidelines

This section contains all forms that are administrative in nature and are linked to other Administrative Guidelines. Forms that are client-specific can be found by accessing the SAFE database.

REQUEST FOR NEW REGION/OFFICE OR CHANGES

- ☐ New Office
- ☐ Office Address Change
- ☐ Office Name Change
- ☐ Obsolete Office

REGION/OFFICE NAME: _____

USSDS DESIGNATION: _____
(leave blank if new office is being requested)

ADDRESS: _____

PHONE: (_____)_____

IMPLEMENTATION DATE: _____

NEW BUDGET INFORMATION: () Yes () No

Fund_____ Agency_____ Org_____ App Unit_____ Activity_____ Rpt Category_____

SAFE CHANGES NEEDED: () Yes () No
(I.E. Caseworker, Supervisors moved in SAFE): _____

Regional ASM: _____

Date Requested: _____

Approvals:

State Office Designee

Navina Forsythe: _____

Division Financial Manager

Lindsay Harris: _____

Information Systems Director

Jack Green: _____

SAFE Program Director

Jay Davis: _____

**DEPARTMENT OF HUMAN SERVICES
INCENTIVE AWARD**

Nominee's Name: _____ Division or Office: _____
Date of Nomination: _____ Employee EIN: _____
Nominator: _____ Division or Office: _____

REASON FOR RECOGNITION – DEMONSTRATED EXCEPTIONAL PERFORMANCE
(check all that apply):

_____ Improvement in Department operation: Applied creative ideas, initiative, leadership, and investment of time beyond standard expectations, for improvement of agency function

_____ Statewide benefits and public service: Increased or improved public service/safety/health, or reduced duplication of statewide efforts (such as improved interagency data systems, communication and coordination).

_____ Cost savings or revenue increases within the Department: Saved significant dollars/time or increased revenues.

_____ Outstanding work effort: Positively exceeded normal job responsibilities and expectations for a unique event or over a sustained period of time.

I. Division/Office Incentive Award (Range amount is from \$50 to \$500.)

Dollar Amount: \$ _____

Authorized Signature & Date: _____

(Division or Office Director or Approved Designee Approval)

*Justification for recognizing employees whose performance meets one or more of the criteria above
(Attach Documentation).*

II. Department Incentive Award (Range Amount is from \$501 to \$2,000.)

Dollar Amount: \$ _____

Authorized Signature & Date: _____

(Executive Director Approval)

*Justification for recognizing employee whose meets on or more of the criteria above and results in
positive outcomes over a sustained period of time: (Attach Documentation).*

**DEPARTMENT OF HUMAN SERVICES
CERTIFICATE OF ADMINISTRATIVE LEAVE**

PRESENTED TO: _____

EMPLOYEE EIN: _____

REASON FOR RECOGNITION – DEMONSTRATED EXCEPTIONAL PERFORMANCE

(Check all that apply):

_____ Improvement in Department operation: Applied creative ideas, initiative, leadership, and investment of time beyond standard expectations, for improvement of agency function

_____ Statewide benefits and public service: Increased or improved public service/safety/health, or reduced duplication of statewide efforts (such as improved interagency data systems, communication and coordination).

_____ Cost savings or revenue increases within the Department: Saved significant dollars/time or increased revenues.

_____ Outstanding work effort: Positively exceeded normal job responsibilities and expectations for a unique event or over a sustained period of time.

NUMBER OF ADMINISTRATIVE LEAVE HOURS AWARDED: _____

AUTHORIZING SIGNATURES:

AGENCY HEAD OR APPROVED DESIGNEE DATE

(Required for 1 to 8 hours per occurrence – not to exceed 24 hours in any fiscal year)

EXECUTIVE DIRECTOR DATE

(Required for awards in excess of 8 hours per occurrence not to exceed 24 hours per fiscal year)

DATE ADMINISTRATIVE LEAVE HOURS AWARDED TO EMPLOYEE: _____

DATE ADMINISTRATIVE LEAVE HOURS MUST BE USED BY THE EMPLOYEE: _____

Hours must be used within 1 year of the date the employee receives this certificate. Unused administrative leave hours shall be forfeited one year from the date of receipt of the Certificate of Administrative Leave, at termination, transfer, or reassignment to a different division or office.